

FORM PTO-1390 (REV. 11-2000)  TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTORNEY'S DOCKET NUMBER 60096-011
INTERNATIONAL APPLICATION NO. PCT/US2002/40107		INTERNATIONAL FILING DATE 16 December 2002 (16.12.2002)	U.S. APPLICATION NO. (If known, see 37 CFR 1.5) <b>10/509788</b>
TITLE OF INVENTION APPARATUS AND METHOD FOR FILTERING PARTICULATE AND REDUCING NOX EMISSIONS			
APPLICANT(S) FOR DO/EO/US ILLINOIS VALLEY HOLDING COMPANY			
<p>Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:</p> <ol style="list-style-type: none"> <li>1. <input checked="" type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li>2. <input type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li>3. <input checked="" type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.</li> <li>4. <input type="checkbox"/> The US has been elected (Article 31).</li> <li>5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2))             <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).</li> <li>b. <input type="checkbox"/> has been communicated by the International Bureau.</li> <li>c. <input checked="" type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</li> </ol> </li> <li>6. <input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).             <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> is attached hereto.</li> <li>b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154 (d)(4).</li> </ol> </li> <li>7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))             <ol style="list-style-type: none"> <li>a. <input checked="" type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).</li> <li>b. <input type="checkbox"/> have been communicated by the International Bureau.</li> <li>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</li> <li>d. <input type="checkbox"/> have not been made and will not be made.</li> </ol> </li> <li>8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).</li> <li>9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).</li> <li>10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</li> </ol> <p><b>Items 11 to 20 below concern document(s) or information included:</b></p> <ol style="list-style-type: none"> <li>11. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</li> <li>12. <input checked="" type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</li> <li>13. <input checked="" type="checkbox"/> A preliminary amendment.</li> <li>14. <input type="checkbox"/> An Application Data Sheet under 37 CFR 1.76.</li> <li>15. <input type="checkbox"/> A substitute specification.</li> <li>16. <input type="checkbox"/> A power of attorney and/or change of address letter.</li> <li>17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 – 1.825.</li> <li>18. <input type="checkbox"/> A second copy of the published international application under 35 U.S.C. 154(d)(4).</li> <li>19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).</li> <li>20. <input checked="" type="checkbox"/> Other items or information: Check, Petition to Make Special Because of Applicant's Age and Declaration of John M. Bailey</li> </ol>			

U.S. APPLICATION NO. (if known, see 37 CFR 1.5)	INTERNATIONAL APPLICATION NO. PCT/US2002/40107	ATTORNEY'S DOCKET NUMBER 60096-011	
21. <input type="checkbox"/> The following fees are submitted:		<b>CALCULATIONS PTO USE ONLY</b>	
<b>BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) – (5)):</b>			
Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO.....\$1,180.00			
International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO.....\$950.00			
International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO.....\$770.00			
International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4).....\$730.00			
International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4).....\$100.00			
<b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b> \$ 100.00			
Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492(e)).			
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE
Total claims	67 - 20 =	47	x \$18.00 \$ 846.00
Independent claims	6 - 3 =	3	x \$86.00 \$ 258.00
MULTIPLE DEPENDENT CLAIM(S) (if applicable)		+ \$290.00 \$	
		<b>TOTAL OF ABOVE CALCULATIONS =</b> \$ 1,204.00	
<input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.		+ \$ 602.00	
		<b>SUBTOTAL =</b> \$ 602.00	
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f)).			
		<b>TOTAL NATIONAL FEE =</b> \$ 602.00	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property		+ \$ 40.00	
		<b>TOTAL FEES ENCLOSED =</b> \$ 642.00	
		Amount to be refunded:	\$
		charged:	\$
<p>a. <input checked="" type="checkbox"/> A check in the amount of \$642.00 to cover the above fees is enclosed.</p> <p>b. <input type="checkbox"/> Please charge my Deposit Account No. 08-3460 in the amount of \$ to cover the above fees. A duplicate copy of this sheet is enclosed.</p> <p>c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 08-3460. A duplicate copy of this sheet is enclosed.</p> <p>d. <input type="checkbox"/> Fees are to be charged to a credit card. <b>WARNING:</b> Information on this form may become public. <b>Credit card information should not be included on this form.</b> Provide credit card information and authorization on PTO-2038.</p>			
<b>NOTE: Where an appropriate time limit under 37 CFR 1.494 has not been met, a petition to review (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.</b>			
SEND ALL CORRESPONDENCE TO:			
Robert C. Haldiman			
Husch & Eppenberger, LLC			
190 Carondelet Plaza, Suite 600			
St. Louis, MO 63105			
309-637-4900 (Phone)			
309-637-4928 (Fax)			
 SIGNATURE			
Robert C. Haldiman NAME			
45,437 REGISTRATION NUMBER			

ORM PTO-1390  
EV. 11-2000

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER  
60096-011TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

10 / 509788

INTERNATIONAL APPLICATION NO. INTERNATIONAL FILING DATE  
CT/US2002/40107 16 December 2002 (16.12.2002)PRIORITY DATE CLAIMED  
12 April 2002 (12.04.2002)TITLE OF INVENTION  
APPARATUS AND METHOD FOR FILTERING PARTICULATE AND REDUCING NOX EMISSIONS

APPLICANT(S) FOR DO/EO/US

ILLINOIS VALLEY HOLDING COMPANY

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

- This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
- This is a **SECOND** or **SUBSEQUENT** submission of items.

check NO match w/ post card.

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PH. 309-637-4900Commerce Bank  
of St. Louis™

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70-1711

DATE  
09/30/04CONTROL NO.  
9258AMOUNT  
\$ 645.00\*\*\*\*

SIX HUNDRED FORTY-FIVE AND 00/100

THE  
DER OF  
Commissioner of Patents &  
TrademarksHUSCH & EPPENBERGER, LLC  
BY: *John M. Bailey* MP  
AUTHORIZED SIGNATUREBY: *David H. Frazee* MP  
AUTHORIZED SIGNATURE

THIS DOCUMENT CONTAINS HEAT SENSITIVE INK. TOUCH OR PRESS HERE - RED IMAGE DISAPPEARS WITH HEAT.

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THE  
DER OF  
Commissioner of Patents &  
Trademarks

11.  An Information Disclosure Statement under 37 CFR 1.97 and 1.98.

12.  An assignment document for recording. A separate cover sheet is included.

13.  A preliminary amendment.

14.  An Application.

15.  A substitution.

16.  A power of attorney.

17.  A continuation application.

18.  A second continuation application.

19.  A second continuation-in-part application.

20.  Other items.

ASSISTANT COMMISSIONER FOR PATENTS,  
KINDLY ACKNOWLEDGE RECEIPT BY DATE STAMPING AND RETURNING.Applicant(s): *John M. Bailey*  
Title: *Apparatus and method for  
Filtering Particulate and  
Reducing NOx Emissions  
Pertaining to National Phase*

Transmittal Letter(s) (2) *signed*

Specification: \_\_\_\_\_ Pages

Number of Claims: \_\_\_\_\_ Pages

Abstract: \_\_\_\_\_ Pages

Drawings: \_\_\_\_\_ Sheet(s) \_\_\_\_\_ Formal \_\_\_\_\_ Informal

Declaration *USA* *signed* *unsigned*

Amendment/ Response

Assignment & Recordation Form Cover Sheet

Petition under 37 CFR 1.136 (a)

Information Disclosure Statement Transmittal, Form 1449 w/Ref.

Part B Issue Fee Transmittal

PCT Request

PCT Demand

Fee Calculation Sheet

Notice of Appeal / Appeal Brief

Statement under 37 CFR 3.73 (b)

PCT EZ Diskette

Certificate of Express Mailing

Application Data Sheet

Other *Article 19 Amendment, Petition to Make Special  
Because of Applicant's Age and Declaration of John M.  
Bailey*

PCT/US#:  
Filed:  
Att/Client/Matter No:  
*US2002/40107*  
*16/12/2002*  
*60096-011* 45 Amy

Small Entity Declaration  
 Fee of \$ 645.00 Paid by  
 Deposit Acct. No. 08-3460  
 Check No. 9258

- 1.825.  
Date Mailed: *9-30-2004*  
Express Mail No.: *EV458945610US*  
John M. Bailey

## EXPRESS MAIL CERTIFICATE OF MAILING (37 CFR 1.10)

Express Mail No.: EV 458945610 US

Docket No.

60096-011

10/509788

Applicant(s): John Bailey

International Application No.	International Filing Date	Priority Date Claimed	DO/EO/US
PCT/US2002/40107	16 December 2002 (16.12.2002)	12 April 2002 (12.04.2002)	

Title:

APPARATUS AND METHOD FOR FILTERING PARTICULATE AND REDUCING NOX EMISSIONS

TO THE COMMISSIONER OF PATENTS AND TRADEMARKS

Transmitted herewith is:

Transmittal Letter to the US Designated/Elected Office Concerning a Filing Under 35 USC 371

Article 19 Amendments

Declaration of Applicant

Assignment and Assignment Recordation Form

Check in the amount of \$642.00

Acknowledgement Card

Preliminary Amendment

Petition to Make Special Because of Applicant's Age

Declaration of John M. Bailey

Signature

Dated:

Sept 30, 2004

Robert C. Haldiman, #45,437  
 Husch & Eppenberger, LLC  
 190 Carondelet Plaza  
 St. Louis MO 63105-3441  
 309-637-4900  
 309-637-4928 FAX

Customer No. 029493

I certify that the document and fee is being deposited on 9.30.2004 with the U.S. Postal Service as Express Mail under 37 C.F.R. 1.10 and is addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Express Mail No.: EV 458945610 US

Signature of Person Mailing Correspondence

Deborah Lane-Christian  
 Typed or Printed Name of Person Mailing Correspondence